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3.13

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## LIFE/AD&D INSURANCE

CMS provides company-paid life and accidental death and dismemberment (AD&D) insurance to all regular full-time and part-time employees who work at least 30 hours per week.

Employees receive booklets describing the waiting periods, eligibility requirements, and coverage levels of the plan upon employment.

### OPTIONAL LIFE INSURANCE

Optional voluntary life insurance is available to full-time and part-time employees who work at least 30 hours per week who wish additional coverage for themselves and/or their eligible dependants. Employees who waive the voluntary life insurance coverage during their initial eligibility period must provide evidence of insurability and be approved by the insurance carrier when choosing to enroll in or increase coverage at a later date. Coverage under the voluntary life insurance program is not effective until approved in writing by the insurance carrier.

Information on coverage limits and bi-weekly premiums is included in the *Health and Life Booklet*. Employees will receive a Summary Plan Description on optional life insurance once enrolled in the plan.

## 3.14

**SHORT TERM  
DISABILITY (STD)****DISABILITY INSURANCE**

All regular full-time employees (40 hours per week) are eligible for **Short Term Disability (STD)**. STD is a partial continuation of an individual's regular base rate of pay and is paid directly by the company. This benefit is meant to bridge the gap between the onset of illness or accident and the start of Long Term Disability (LTD). Proof of medical disability as defined by the plan is required to receive this benefit. Employees receive booklets describing the waiting period, eligibility requirements and benefit level when employed.

All full-time regular employees who have completed one (1) year of continuous employment are eligible to participate. One (1) day of STD benefit is granted for each full month of service. Employees entering the plan will have a minimum of 12 days to a maximum of 40 days based on length of service. The benefit amount is 60% of an employee's base rate of pay. STD payments may begin only after all PTO and Extended Sick Leave has been exhausted. Employees may apply for the benefit after they have received approval for a medical leave of absence. (Refer to Section 3.4, **Medical and Family Leaves of Absence**)

Employees do not accrue time toward the initial eligibility requirement nor do they earn additional time off benefits while on leave of absence.

**NOTE:** Two or more periods of disability separated by the employee's normal work schedule for a period of less than three (3) months will be considered a continuation of the same benefit.

Employees who are covered under a short-term disability plan provided by state statute will have the amount of STD payments from CMS reduced by the gross amount of the state benefit.

**LONG TERM  
DISABILITY (LTD)**

Company-paid or employee-paid **Long Term Disability (LTD)** insurance is provided for all regular full-time and part-time employees who work at least 30 hours per week.

The LTD plan provides employees with partial compensation after a waiting period of 180 consecutive days of total disability due to illness or injury. The plan, together with other benefits for which an employee may be eligible (e.g. Social Security disability benefits), will provide a total of 60% of an employee's monthly base rate of pay up to a maximum benefit of \$10,000 per month.

Employees are given the opportunity to make a one-time election to pay the premium for long term disability coverage during their initial eligibility period, or choose the company-paid option. Employees receive booklets describing the waiting period, eligibility requirements, and benefit level of the plan when employed.



3.15

401K PLAN

SUPPLEMENTAL  
RETIREMENT PLAN

## RETIREMENT SAVINGS PLANS

Retirement years are enjoyed most when employees have planned and prepared for them. CMS offers employees the opportunity to start long-range preparation for retirement years through participation in the 401(k) Retirement Plan or the Supplemental Retirement Plan.

Employees accumulate money in the Plan through:

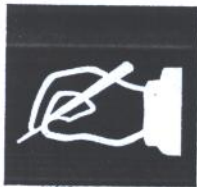
- ↳ *Pre-Tax Payroll deductions*
- ↳ *Annual Company contributions*
- ↳ *Investment income (interest)*

Benefits are paid upon retirement, disability, death, or separation from the Company.

Employees receive information upon employment regarding the waiting period, eligibility requirements, vesting, and plan structure for the particular Retirement Plan for which they qualify. Please contact the CMS Benefits Department if you have any questions about the Plan.

SOCIAL SECURITY

CMS contributes an amount equal to each employee's deduction for Social Security (FICA) until the yearly maximum level is reached. For those employees reaching retirement age, it is a good practice to check with the Social Security Administration office every few years to inquire as to the status of their accounts. **Send inquiries to:**



Security Administration  
PO Box 57  
Baltimore, MD 21203

It is also imperative that employee Social Security Numbers (SSN) and birth dates reported by our Payroll Department to the IRS are accurate in order to avoid loss of credited earnings in employee's accounts and extensive red tape in correcting the resultant problems. Check the name and social security number printed on your check stubs for accuracy and report any errors to the CMS Payroll Department immediately.

## 3.16

## MISCELLANEOUS EMPLOYEE BENEFITS

FLEXIBLE SPENDING  
ACCOUNTS

CMS full-time and regular part-time employees working at least 30 hours per week may choose to participate in one of two (2) flexible spending accounts.

## HEALTHCARE FSA

Eligible employees may choose to participate in the healthcare flexible spending account for eligible expenses not covered under the health insurance plan. Healthcare Spending Accounts allow employees to save on a pre-tax basis for eligible health care expenses, thereby avoiding taxes and reducing taxable income. Annual minimum and maximum contributions apply. Contributions are made in equal amounts from the employee's paycheck. This tax savings plan covers things such as doctor's office visits and eligible employee co-payments.

**NOTE:** In accordance with IRS guidelines, employees should choose contribution amounts carefully to avoid forfeiture of unused funds in their account at the end of the plan year.

DEPENDENT CARE  
FSA

Eligible employees may choose to participate in the dependent care flexible spending account, a tax savings plan, where an employee may set aside a designated amount each pay period on a pre-tax basis for reimbursement of eligible, paid dependent care expenses. Annual minimum and maximum benefit amounts apply. Contributions are made in equal amounts from the employee's paycheck.

**NOTE:** In accordance with IRS guidelines, employees should choose contribution amounts carefully to avoid forfeiture of unused funds in their account at the end of the plan year.

For additional information on flexible spending accounts, contact the CMS Benefits Department.

## DAY CARE

All CMS employees are eligible from their date of hire for a discount at participating *Children's World Learning Centers*. Locations and participation vary by state.

## DIRECT DEPOSIT

All regular CMS employees may elect direct deposit of their payroll check into their personal account(s), provided the banking institution is a member of the Automated Clearing House. Complete the *Direct Deposit Form* available from your Site Manager.



**SECTION**

**4**

SITE HUMAN RESOURCES

**EMPLOYEE RESPONSIBILITIES  
AND GUIDELINES**

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4 . 1

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CONFIDENTIALITY

## CONFIDENTIALITY

As an employee of CMS, you are exposed to information concerning patients, as well as institution and company activities, that must be held in strict confidence. Any information concerning a patient's condition, care, treatment or personal data is considered confidential and may not be discussed with anyone other than those directly responsible for the patient's care and treatment.

Employees also have a duty to maintain the confidentiality of business information. Any unauthorized dissemination of business information may result in corrective action up to and including termination.

A breach of confidence, in addition to being unethical, may involve you, the institution, and CMS in legal proceedings. Violation of this policy may result in immediate corrective action, up to and including termination.

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4.2

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**EMPLOYEE AND COMPANY INFORMATION****IDENTIFICATION**

Name badges are provided for employees. You must wear your name badge at all times while on duty. If you work in an area where wearing a name badge may not be advised, follow your supervisor's direction with respect to identification. Your institution may have additional policies regarding identification.

**CHANGE OF  
INFORMATION**

Please inform your Supervisor of any change in the following information:

- Name *(A copy of the employee's Social Security Card indicating the name change must be provided.)*
- Address
- Telephone Number
- Marital status *(A copy of the marriage license must be provided.)*
- Dependent status
- Emergency contact information

This information must be kept up-to-date for payroll and insurance billing purposes.

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4.3

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## EMPLOYEE WORKING AREAS

### NO SMOKING AREAS

Smoking is allowed only in designated areas. It is not allowed in patient areas or where oxygen is stored or in use. Each institution will designate specific areas in which smoking is permitted. You must observe your institution's policies regarding smoking.

### SAFETY

The employee's safety and well being are of primary concern to the Company. Efforts are constantly being made to assure that accident prevention is a primary consideration in every facility operation.

Each employee will be responsible to ensure the ultimate success of their safety program and the prevention of injuries to themselves or their co-workers through safe work practices. Employees should immediately report any unsafe conditions within their working environment to their Supervisor or Site Manager.

All employees should avoid potential accidents by not operating malfunctioning equipment or lifting or pushing extremely heavy objects. Request assistance and/or repair of equipment from your Supervisor or Site Manager.

In addition, all accidents or injuries must be reported to the employee's Supervisor immediately. The Supervisor then fills out an accident report and files the report with the insurance company.

An employee's non-compliance with safety rules, regulations and procedures is subject to the Company's corrective action policy.

### GOOD HOUSEKEEPING

To help keep all working areas neat, employees are responsible for clearing and cleaning their work areas before leaving at the end of their shift. Eating in work areas or patient care areas is prohibited. Employees are encouraged to help keep the break rooms, coffee stations, rest rooms, conference rooms, and other public areas neat and clean.



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4.4

APPEARANCE AND  
CONDUCT

## EMPLOYEE RESPONSIBILITIES

You represent CMS in your day to day contact with patients and institution employees. It is important that you are appropriately and neatly dressed for your type of work, properly groomed (including personal hygiene), and that you conduct yourself in a courteous and dignified manner.

We recognize that most employees will dress according to accepted standards of modesty, dignity and plain good taste. Wearing apparel must be clean, fit properly and not be of extreme design or fashion.

Some job classifications may require that employees wear uniforms while on duty.

Your Site Manager may make a more detailed application of these guidelines. In all cases, these general guidelines must be observed.

REPORTING FOR  
WORK

If you are unable to report for your scheduled shift you must inform your Supervisor prior to the start of your shift and inform him/her of the reason and when you will report to work. Your site may have a specific policy outlining the amount of advance notice you must give when reporting off or late.

If you are ill, and will be absent for more than one day, you should also inform your Supervisor of approximately how long you expect to be off work. If you are off more than one day, you are expected to call your Supervisor **daily** unless other arrangements have been made.

Absenteeism creates an unusually heavy burden on your fellow employees who must carry your load in addition to their own. Failure to adhere to your site's call in or unexcused absence policies may result in immediate corrective action up to and including termination. Excessive absenteeism or tardiness will be reflected in your performance evaluation and may be cause for corrective action.

CORPORATE  
COMPLIANCE

## CORPORATE COMPLIANCE PLAN

Each of us in accepting the obligations of our job has accepted certain responsibilities for personally adhering to business principles and conduct contributing to a cooperative professional manner and to cooperate and work effectively with supervisors and other staff. It is CMS' policy and our expectation that employees will comply with all federal, state, and local laws in each jurisdiction in which CMS conducts business, and will behave with integrity and in an ethical manner in the conduct of business.

Employees are responsible for being familiar with and understanding the Business Conduct Policy and the Healthcare Code of Conduct, which are written policies under the Corporate Compliance Plan. The Business Conduct Policy sets forth the principles by which employees are guided in the conduct of Company business. It requires compliance with related federal and state laws, including but not limited to, employment, labor, workplace, environment, antitrust and securities laws. Under the Healthcare Code of Conduct, employees must comply with all applicable laws and regulations which prohibit, among other things, fraud and abuse or illegal kickbacks or inducements, illegal referrals for services, and false claims in coding or billing patient charges.

All applicants are required to sign a copy of the Business Conduct Policy printed on the back of the CMS employment application. Each new employee is provided a copy during orientation. Employees, especially those whose duties are impacted by aspects of the Corporate Compliance Plan, will receive appropriate training and will be required periodically to certify that they have reviewed the policies and are in compliance with all policies regarding business conduct and responsibilities.

An employee who becomes aware of a possible violation of the policy should report the matter to his/her Supervisor, the Human Resources Department, or the Legal Department; OR the employees may call the *Corporate Compliance Hotline*, where their concern can be anonymously reported. The Corporate Compliance Hotline number is (800) 325-3982, ext. 9360.



## 4 . 6

## ADDITIONAL GUIDELINES

## SOLICITATION

CMS has adopted the following policy on solicitation and distribution of materials on institutional or company property:

- ↳ All solicitation is prohibited except when both the person doing the soliciting and the person being solicited are not performing their work tasks. Solicitation is prohibited in patient care areas at all times.
- ↳ Distribution of advertising materials, handbills, and printed or written literature of any kind in work areas is prohibited at all times.
- ↳ Solicitation and distribution of materials on institutional property may be governed by separate institutional rules in addition to those stated above. Further guidelines can be obtained by consulting the specific institution's rules.

## BULLETIN BOARDS

CMS provides bulletin boards as a convenient means of communicating important and useful information. The bulletin boards are to be used for official CMS business only. Personal postings, or postings involving outside organizations, are not permitted.

## TAPE RECORDING OF CONVERSATIONS

A full and honest exchange of opinions among staff requires trust. Recording of conversations, either by video or tape, undermines that trust. Further, in some states surreptitious recording of conversations is unlawful. CMS prohibits the recording of conversations between and among management and employees, on or off the premises. Violation of this rule requires termination.

## ACCESS TO PERSONNEL FILES

Employees may review their personnel files by making a written request to their Site Manager and scheduling an appointment with the Site Manager or his/her designee. Copies of appropriate documents from the employee personnel file will be provided to the employee upon written request. Consistent with state law, employees may be charged a nominal fee for photocopying.

Former employees will not be provided with documents from their personnel files, unless required by state law. In such situations, the former employee should contact the Human Resources Department at 800-325-4809.

## CHARITABLE ACTIVITIES

CMS sponsors various charitable events throughout the year, which extend to employees an opportunity to contribute or participate in local or community activities to help those less fortunate.

Employees' support of these events is entirely personal and voluntary.

All non-community based charitable activities must be approved by the respective Division President as appropriate.



**SECTION**  
**5**

SITE HUMAN RESOURCES

**SPECIAL INSTITUTIONAL  
CONCERNS**

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## INSTITUTIONAL POLICIES

Your institution has developed specific policies and rules designed to ensure the security and safety of inmates, institutional employees and the public.

You will receive a copy of the institution's rules and procedures. Your complete support in abiding by these policies is expected for your protection as well as others. Your Supervisor should be consulted any time you have a question or concern about the application of institutional policies.

**NOTE: Failure to comply with institutional security practices is considered a serious infraction that may result in immediate corrective action up to and including termination.**

### SECURITY STANDARDS

Due to the special nature of providing health care in the correctional setting, CMS has developed security standards for all of our employees. We have developed these standards to provide direction for you and to help promote and maintain a safe and secure working environment for yourself and others.

These standards have been developed from basic security policies that all individuals working in a correctional facility must observe.

**IT IS OF EXTREME IMPORTANCE THAT YOU HAVE KNOWLEDGE OF, AND ADHERE TO, ALL STATED SECURITY STANDARDS.**

1. When reporting for duty no employee shall:
  - a. Be under the influence of an intoxicant. Intoxicants include alcohol, narcotics, barbiturates, hallucinogenic drugs and central nervous system stimulants.
  - b. Bring into the institution, or onto client property, any article that is not authorized by prison administration.
  - c. Carry any weapon or any article that has the potential of being used as a weapon. In most institutions this includes glass containers and bottles.
  - d. Report to work in clothing that is inappropriate or is not in compliance with the established dress code.

- e. Bring into the institution personal, prescribed medication in excess of the amount that is needed to be taken during your time on duty. Personal medication will be kept in its original container indicating it was prescribed for you by a physician. Prior approval to bring prescribed medication into the institution is required by many institutions. Please consult local regulations before bringing your medications into your institution.

2. While on duty no employee shall:

- a. Have personal conversations with inmates or client staff. All conversations with inmates and client staff shall be strictly professional.
- b. Use profane or abusive language.
- c. Abuse inmates in any manner.
- d. Direct inmates to provide direct patient care. Inmates are to be used only as custodians in the hospital area.
- e. Trade, barter, accept a gift from, or present a gift to, an inmate, an inmate's family, or any other person on behalf of an inmate.
- f. Recommend or furnish any advice concerning the legal affairs of any inmate.
- g. Have unauthorized keys to any area of the institution. All authorized keys will be maintained in a secure manner at all times.
- h. Enter restricted areas of the institution without proper authorization.
- i. Use CMS-owned property, or institution-owned property, for personal use or gain.
- j. Use physical force on any inmate except in self-defense, and only to the degree that is reasonably necessary.
- k. Ignore institutional rule infractions committed by inmates. Employees are expected to complete a written report on any infractions involving an inmate. This includes any abusive behavior or language, disrespectful attitude, assaults, and other unusual activities.
- l. Refuse to submit to a personal security search, when requested, by authorized security personnel. This search may also be extended to your personal property and vehicle located on Department of Corrections property.
- m. Provide medical treatment to inmates without proper security present, if required.
- n. Leave un-disposed, or improperly secured, syringes, needles, glass containers or medical instruments. All of these articles will be properly stored by each department to prevent access by inmates.
- o. Obstruct or impede any investigation conducted by the institution or CMS.



3. No employee shall:

- a. Take any article or property belonging to the institution or state, or from state property, without written authorization.
- b. Release any patient care or confidential information to any source or agency without prior approval of CMS and/or institutional administrations. This includes newspapers, radio and television stations, and relatives of inmates.
- c. Have contact of a personal nature with any inmate or inmate's family member. Personal contacts include phone calls, cards, letters, and other types of written communication. **All contacts of a personal nature, initiated by an inmate, should be reported immediately to CMS Administration and institution security.**
- d. Give an inmate or inmate's family member the date and/or time of any medical appointments outside the institution.
- e. Answer any inquiries by an inmate or inmate's family member, other than for medical reasons. This includes release dates, parole dates, incentive good time, etc.
- f. Answer any and all other inquiries by inmates, but should direct the inmate to Security.

*Please remember you are working in a security facility. If you have questions or are in doubt about any policy or procedure, you should consult your immediate Supervisor or facility Security for assistance.*

INCARCERATED  
RELATIVES/FRIENDS

There are legitimate Company and security issues concerning employees or applicants who have relatives or friends incarcerated at an institution or within the corrections system in which the employee works. The Site Manager is responsible for ensuring that any situation occurring, either prior to or during a person's employment, is properly evaluated. Employees and applicants are responsible for notifying the Site Manager if such a situation exists or occurs. The institution's prevailing policy or practice will be the primary factor guiding any employment decisions.

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PROFESSIONAL  
LIABILITY  
INSURANCE

## LEGAL ISSUES

Employed health care professionals of CMS who provide medical services on behalf of CMS are covered under CMS' Professional Liability Insurance policy, for lawsuits against them relating to their services. The coverage only applies while the employee is performing services relative to employment with CMS. The limits are \$1,000,000 per occurrence regardless of the number of insured defendants and \$5,000,000 in the aggregate annually. Punitive damage awards as well as intentional acts are excluded from the professional liability insurance. The insured (employee) is expected to cooperate in the defense and/or settlement of all claims as a condition of the policy.

## LEGAL MATTERS

As in any health care environment, the possibility exists that civil or professional liability lawsuits will be filed by an inmate that will require investigation and resolution.

As an employee of CMS, your full cooperation is needed in meeting with state or CMS legal counsel, giving depositions, presence at court appearances, and other related activities. Time spent in these matters is considered a regular part of your duties.

**SECTION**  
**6**

SITE HUMAN RESOURCES  
**COMMUNICATIONS**

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## 6.1

**INTERNAL / EXTERNAL COMMUNICATIONS****VERBAL  
COMMUNICATION**

CMS management welcomes your suggestions and comments. You are encouraged to make your suggestions known for the betterment of the company, improving patient care, or any aspect of your work. This input can take place in many forms. The two most effective vehicles for communication are:

**YOUR SUPERVISOR**

Perhaps the most effective form is direct communication with your supervisor. He/She is ready to help if you have issues, concerns, or suggestions about your work or company policies, programs, and benefits.

**STAFF MEETINGS**

You are also encouraged to actively participate in staff meetings, which are held periodically to keep employees informed of department and company activities, and to allow employees an opportunity to initiate discussion.

**WRITTEN  
COMMUNICATION**

CMS distributes information such as job postings and policy updates or changes periodically to the Site Manager via electronic mail for distribution to all employees via the medical unit bulletin boards and/or through staff meetings. Check with your Site Manager on when and how written communication is posted and check this information regularly. The Site Manager and/or Institution may also publish regular communication pieces to keep employees informed of happenings throughout the Company/facility and employee news such as anniversaries, birthdays, upcoming local events, etc.

Employees may also receive direct mailings from CMS to their home regarding information of particular note or importance.

**PUBLIC RELATIONS**

Because CMS provides services in public venue, attention from all types of media (print, television, and radio) can be expected. In order to assist staff at all levels concerning interaction with the press, we have developed the following guidelines:

- ✎ Any press/media inquiries to an employee require coordination through the CMS Central Office. Employees should immediately contact their supervisor and the Site Manager for *any* inquiries from the media. The Site Manager should then indicate to the press/media that it is inconvenient to discuss their questions at this time and offer to get back to them. Request their name, media affiliation, and telephone number. This information request approach will also allow CMS to verify their legitimacy.

- ↳ The Site Manager will contact the appropriate public relations liaison at the CMS Central Office as well as Regional Management concerning the media inquiry. CMS will secure background information in conjunction with the Divisional President, Regional Vice President, or Regional Manager.
- ↳ The Divisional President will determine the appropriate course of action.

It is our philosophy to cooperate with the media, but attention must be given to the sensitivity of the inquiry, potential patient confidentiality considerations, and the facility's policy concerning interaction with the media.



## PROBLEMS AND HOW TO SOLVE THEM

Although you may never need a formalized method of presenting a concern or resolving a problem, CMS provides the following guidelines to assure that any issue relating to your working situation may be fully considered. Employees may make a complaint without fear of retaliation.

1. *Discuss the problem first with your **Supervisor**. This will clear any misunderstanding and resolve a majority of the issues.*
2. *If your immediate Supervisor did not handle the problem to your satisfaction or if the matter is one that you cannot discuss with your Supervisor, you may discuss the matter with your **Site Manager**.*
3. *If the problem still has not been resolved to your satisfaction, you may direct a formal written complaint to the **Regional Manager** or **Regional Vice President**.*
4. *If a satisfactory resolution did not occur under step three of this procedure, or you feel the matter cannot be discussed with your Site/Regional Manager, you may direct a complaint to the **Human Resources Department in St. Louis**. The Human Resources Department will consult with the Site Manager and other parties involved in an attempt to resolve the problem.*
5. *If you are still not satisfied with the resolution of the problem, you may submit a written appeal to the **Divisional President**. The Divisional President will discuss the situation with the appropriate parties and a final decision on the matter will be made at this level.*

All of us may have a need to air our concerns and seek fair solutions. The fact that you have a problem to present or appeal does not reflect unfavorably on you or your supervisor.

### THIRD PARTY INTERVENTION

CMS believes **open communication** is the *key* to problem resolution and in that spirit, we encourage all employees to come forward with their problems, issues, or concerns. CMS wants to *talk with you* to resolve problems or concerns – without fear of retaliation.

Although utilization of the “chain of command” is recommended as indicated above, you may directly contact any of the individuals listed to seek assistance in problem resolution.

Employees may be contacted by outside third parties, claiming to be able to solve employee problems. Employees should consider all of the facts before becoming involved with third parties.